

12/22/00
Jc971 U.S. PTO

12-27-00

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Please type a plus sign (+) inside this box → ☒

PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1. 53(b))

| | |
|------------------------|---|
| Attorney Docket No. | NREL 99-29 |
| First Inventor | Melis Anastasios |
| Title | Plasma Enhanced Chemical Vapor Deposition Method of Forming Vanadium Oxide Films and Vanadium Oxide Thin-Films Prepared Thereby |
| Express Mail Label No. | EJ 200218927 US |

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB/1 7)
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages **19**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if Red)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S. C. 1 13) [Total Sheets **7**]
- Oath or Declaration [Total Pages **6**]
 - ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 1 8 completed)
 - ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(13)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1. 76.,

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: **60 / 173,391**

Prior application information:

Examiner

Group Art Unit.

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion of the disclosure is omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

23712
(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

| | | | | | |
|---------|--------------------------------------|-----------|--------------|----------|--------------|
| Name | Paul J. White | | | | |
| Address | National Renewable Energy Laboratory | | | | |
| | 16 17 Cole Blvd. | | | | |
| City | Golden | State | CO | Zip Code | 80401 |
| Country | USA | Telephone | 303/384-7575 | Fax | 303/384-7499 |

| | | | |
|-------------------|----------------------|-----------------------------------|-------------------|
| Name (Print/Type) | Paul J. White | Registration No. (Attorney/Agent) | 30,438 |
| Signature | <i>Paul J. White</i> | Date | December 22, 2000 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Jc760 U.S. PTO
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PTO/SB/17 7 (2/98)

Approved for use through 9/30/2000 OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12
See 37 C.F.R. §§ 1.27 and 1.28.

| | | |
|--------------------------------|-------------|---------------|
| TOTAL AMOUNT OF PAYMENT | (\$) | 355.00 |
|--------------------------------|-------------|---------------|

Complete if Known

| | |
|----------------------|------------------|
| Application Number | Not Yet Accorded |
| Filing Date | Not Yet Accorded |
| First Named Inventor | Melis Anastasios |
| Examiner Name | Not Yet Accorded |
| Group / Art Unit | Not Yet Accorded |
| Attorney Docket No. | NREI_99-29 |

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **14-0460**

National Renewable Energy Lab.

- ☒ Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17

2. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 101 | 790 | 201 | 395 | Utility filing fee | 355.00 |
| 106 | 330 | 206 | 165 | Design filing fee | |
| 107 | 540 | 207 | 270 | Plant filingfee | |
| 108 | 790 | 208 | 395 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional filing fee | |

| | |
|--------------------|--------------------|
| SUBTOTAL(I) | (\$) 355.00 |
|--------------------|--------------------|

2. EXTRA CLAIM FEES

| | Extra Claims | Fee from below | Fee Paid |
|---|---------------------------------------|--------------------------------------|--------------------------------|
| Total Claims <input type="text" value="10"/> | -20**= <input type="text" value="0"/> | x \$ <input type="text" value="9"/> | <input type="text" value="0"/> |
| Independent Claims <input type="text" value="1"/> | -3**= <input type="text" value="0"/> | x \$ <input type="text" value="40"/> | <input type="text" value="0"/> |
| Multiple Dependent | | | <input type="text" value="0"/> |

*or number previously paid, if greater; For Reissues, see below

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|---|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 103 | 22 | 203 | 11 | Claims in excess of 20 |
| 102 | 82 | 202 | 41 | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid |
| 109 | 82 | 209 | 41** | Reissue independent claims over original patent |
| 110 | 22 | 210 | 11** | Reissue claims in excess of 20 over original patent |

SUBTOTAL (2) (\$)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | | | | Small Entity Fee Code (\$) | | | | Fee Description | Fee Paid |
|----------------------------|--------|-----|--------|----------------------------|--|--|--|-----------------|----------|
| 105 | 130 | 205 | 65 | | | | Surcharge - late filing fee or oath | | |
| 127 | 50 | 227 | 25 | | | | Surcharge - late provisional filing fee or cover sheet | | |
| 139 | 130 | 139 | 130 | | | | Non-English specification | | |
| 147 | 2,520 | 147 | 2,520 | | | | For filing a request for reexamination | | |
| 112 | 920* | 112 | 920* | | | | Requesting publication of SIR prior to Examiner action | | |
| 113 | 1,840* | 113 | 1,840* | | | | Requesting publication of SIR after Examiner action | | |
| 115 | 110 | 115 | 55 | | | | Extension for reply within first month | | |
| 116 | 400 | 216 | 200 | | | | Extension for reply within second month | | |
| 117 | 950 | 217 | 475 | | | | Extension for reply within third month | | |
| 118 | 1,510 | 218 | 755 | | | | Extension for reply within fourth month | | |
| 128 | 2,060 | 228 | 1,030 | | | | Extension for reply within fifth month | | |
| 119 | 310 | 219 | 155 | | | | Notice of Appeal | | |
| 120 | 310 | 220 | 155 | | | | Filing a brief in support of an appeal | | |
| 121 | 270 | 221 | 135 | | | | Request for oral hearing | | |
| 138 | 1,510 | 138 | 1,510 | | | | Petition to institute a public use proceeding | | |
| 140 | 110 | 240 | 55 | | | | Petition to revive - unavoidable | | |
| 141 | 1,320 | 241 | 660 | | | | Petition to revive - unintentional | | |
| 142 | 1,320 | 242 | 660 | | | | Utility issue fee (or reissue) | | |
| 143 | 450 | 243 | 225 | | | | Design issue fee | | |
| 144 | 670 | 244 | 335 | | | | Plant issue too | | |
| 122 | 130 | 122 | 130 | | | | Petitions to the Commissioner | | |
| 123 | 50 | 123 | 50 | | | | Petitions related to provisional applications | | |
| 126 | 240 | 126 | 240 | | | | Submission of Information Disclosure Stmt | | |
| 581 | 40 | 581 | 40 | | | | Recording each patent assignment per property (times number of properties) | | |
| 146 | 790 | 246 | 395 | | | | Filing a submission after final rejection (37 CFR 1. 1 29(a)) | | |
| 149 | 790 | 249 | 395 | | | | For each additional invention to be examined (37 CFR 1. 1 29(b)) | | |

Other fee (specify) _____

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$

SUBMITTED BY

| | |
|--------------------------|--------------------------------------|
| Typed or Printed Name | Raul D. White, Senior Patent Counsel |
|--------------------------|--------------------------------------|

Signature

Date 12/22/00

Complete (it applicable)

Reg. Number 30.436

| | |
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